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#3  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Daniel E. Resasco, Boonyarach Kitiyanan,  
Jeffrey H. Harwell and Walter Alvarez

Serial No.: Not Yet Assigned

Atty. Dkt. No.: 5820.615

Filed: Herewith

Art Unit: 1754

For: METALLIC CATALYTIC PARTICLE  
FOR PRODUCING SINGLE-WALLED  
CARBON NANOTUBES (AS AMENDED)

Examiner: S. Hendrickson

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231



INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This  
Information Disclosure Statement

The following sections are being submitted for this  
Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ Form PTO-1449 (Modified)
3. ☐ Statement as to Information Not Found in  
Patents or Publications (Information Not  
Listed in Form PTO-1449 (Modified))
4. ☒ Identification of Prior Application in Which  
Listed Information Was Already Cited and for  
Which No Copies Are Submitted or Need Be  
Submitted
5. ☒ Copies of Listed Information Items  
Accompanying this Statement
6. ☒ Identification of Person(s) Making this  
Information Disclosure Statement

**Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

**Section 2. Form PTO-1449 (Modified)**

☒ A completed Form 1449 (Modified) is attached hereto.

☐ No Form 1449 (Modified) is attached.

**Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)**

**Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted**

This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. 09/389,553, filed on September 3, 1999. The listed references were submitted to and/or cited by the Office in this prior application. Therefore, copies are not submitted herewith.

**Section 5. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☒ Exception(s) to above:

- [X] Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4. Only copies of the following patents are enclosed:

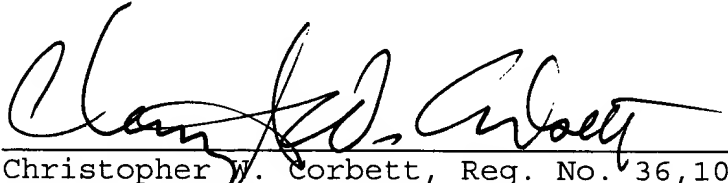
AL 5,603,907, AX 5,965,267 and DC HYPERION CATALYSIS INTERNATIONAL Website; <http://www.fibrils.com/esd.htm> ; "Unique Slough Resistant SR™ Series ESD Thermoplastic Product Line Offers Reduced Particle Contamination For Demanding Electronic Applications," and Hyperion Homepage <http://www.fibrils.com> .

**Section 6. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of the information:

- [ ] supplied by the inventor(s)
- [ ] supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- [X] in the attorney's file

Respectfully submitted,



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